Department of the Army
Headquarters, United States Army
Training and Doctrine Command
Fort Monroe, Virginia 23651-1047

TRADOC Supplement 1 to AR 1-201

29 December 2005

Administration
ARMY INSPECTION PROGRAM

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Summary. This supplement provides policy for U.S. Army Training and Doctrine Command (TRADOC) inspections, audits, and staff assistance and assessment activities.

Applicability. This supplement applies to Headquarters (HQ), TRADOC and all TRADOC organizations.

Suggested improvements. The proponent of this supplement is the Deputy Chief of Staff for Operations and Training (DCSOPS&T). Send comments and suggested improvements on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms), through channels to Commander, TRADOC, (ATTG-CQ, Quality Assurance Office), Building 161, 5 Fenwick Road, Fort Monroe, VA 23651-1049. Suggested improvements may also be submitted using DA Form 1045 (Army Ideas for Excellence Program (AIEP) Proposal).

Availability. This publication is distributed through the TRADOC Homepage at http://www.tradoc.army.mil.

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Army Regulation (AR) 1-201, 12 January 2004, is supplemented as follows:

Paragraph 1-2, References. TRADOC references supplemented to appendix A.

Paragraph 1-3, Explanation and abbreviations of terms. TRADOC abbreviations and terms are supplemented to the glossary.

Paragraph 1-4, Responsibilities. Add the following subparagraphs:

" h. TRADOC DCSOPS&T:

(1) Serves as the HQ TRADOC lead for the Organizational Inspection Program (OIP) as required in paragraph 1-4d, AR 1-201 (DCSOPS&T Quality Assurance Office (QAO)).

(2) Responsible for reviewing and ensuring coordination of new or updated inspections from TRADOC staff and auditors. Ensures all inspections are reflected on the TRADOC Master Activities Calendar (TMAC). Also reviews external inspections and audits.

(3) Provides staff management of the OIP through the quarterly OIP Work Group. OIP Work Group activities are explained below in subparagraph m.

(4) Chairs quarterly OIP Work Group and updates Command Group as needed.

(5) Provides guidance to staff and functional elements, subordinate commanders, and external agencies for deconflicting, rescheduling, or eliminating those inspections that duplicate efforts or disrupt missions.

(6) Beginning in fiscal year (FY) 06, publishes the OIP schedule annually, not later than (**NLT) 1 May**, for the following FY.

(7) Appoints a lead for all inspections involving more than one staff directorate or agency.

(8) Resolves conflicts between inspection leads.

i. TRADOC Inspector General (IG).

(1) Advises DCSOPS&T on OIP policy and effectiveness. Reports and coordinates proposed changes to the TMAC with TRADOC QAO.

(2) Conducts IG inspections in accordance with (IAW) AR 1-201 and AR 20-1.

(3) Conducts inspection training as requested by the commander and staff agencies.

(4) Conducts intelligence oversight (IO) inspections IAW AR 20-1, paragraphs 6-9 through 6-11.

(5) Conducts annual Federal Voting Assistance inspections IAW AR 1-201 (interim change published in HQDA Memorandum, SAIG-TR, 24 Sep 2003, Subject: Inspecting the Army Voting Assistance Program).

(6) Conducts annual technical inspections of TRADOC center and school IG offices.

(7) Coordinates administrative support for the DA and Department of Defense (DOD) IGs upon request.

(8) Participates in quarterly OIP Work Group.

(9) Conducts inspections as described in paragraph 3-5e through h, below.

(10) Develops an annual IG inspection plan for the Commanding General's (CG) approval and submission to the TMAC.

j. Deputy Commanding General (DCG) for Initial Military Training (IMT); CG, United States Army Accessions Command (USAAC).

(1) Serves as the senior representative for IMT assistance visits.

(2) Coordinates and executes all IMT assistance visits.

(3) Ensures assistance visits are conducted IAW the principles in AR 1-201.

(4) Finalizes reports and follow-up activities, and disseminates results, take-aways, and lessons learned to the command.

(5) Executes the USAAC portion of the TRADOC Quality Assurance (QA) Program accreditation function as described in paragraph 3-4i, below.

(6) Coordinates external inspections with DCSOPS&T.

k. Subordinate commanders and center directors.

(1) Ensure each unit or activity, down to battalion or battalion equivalent, has an OIP. The battalion-level OIP is the foundation, and each higher-level OIP supports and inspects subordinate OIPs.

(2) Designate an OIP lead and provide that information to the TRADOC OIP lead.

(3) Monitor the conduct of inspections and ensure they are conducted IAW with this supplement and the five principles of Army inspections in paragraph 2-2, AR 1-201.

(4) Apply the training management cycle outlined in Field Manual (FM) 7-0 to plan inspections; allow for adequate time to perform corrective actions; and follow-up inspections.

(5) Request inspections or assistance visits that cannot be satisfactorily met by internal assets or expertise in support of the local commander's OIP.

(6) If Senior Mission Commander (SMC), then coordinate closely with the Installation Management Agency (IMA) officials for inspections and staff or technical assistance activities involving support of our infrastructure, Soldiers, civilians, and their families.

(7) Notify TRADOC DCSOPS&T QAO of all inspections planned for TRADOC activities, including external agency inspections and audits.

(8) Ensure company-sized units providing garrison support to TRADOC receive the command inspections required by AR 1-201.

l. HQ TRADOC staff.

(1) Plan, coordinate, and execute an annual inspection program for their functional area(s) as required by controlling regulations and TRADOC operational requirements.

(2) Provide the commander status and specific feedback on functional area programs throughout the command.

(3) Designate an OIP lead to serve on the OIP Work Group, and coordinate, track, and report all functional area inspections. Submit the annual inspections to TRADOC OIP lead (DCSOPS&T QAO) for scheduling.

(4) Advise TRADOC OIP lead on potential inspection efficiencies (that is, unnecessary redundancy or excessive frequency of inspections) and vulnerabilities for their functional area.

(5) Conduct inspections and staff assistance visits as required by operational requirement, regulation, and as directed by the CG, TRADOC. Follow methodology outlined in this supplement.

(6) Annually provide the TRADOC QAO a complete schedule of all functional area internal and external inspections **NLT 1 April** for the following FY.

(7) Coordinate functional area inspections with like inspections from DA and DOD to complement subordinate functional area inspections, eliminate needless redundancy, and minimize disruption to subordinate commands. This could mean combining inspections, provided that the purpose and intent of the original inspections are not compromised.

(8) Submit proposed new inspections, not previously included in the annual submission, to the TRADOC QAO, NLT the 15th of each month, to ensure TMAC update the following month.

(9) Ensure inspections are conducted IAW this supplement and AR 1-201.

(10) Provide subject matter expert (SME) to augment inspections (for example, IG, USAAC assistance visits, QAO evaluations) as required.

(11) Coordinate administrative support for DA and DOD-related staff and functional area inspections to TRADOC; provide scheduling information to the TRADOC QAO.

(12) Participate in OIP Work Group.

  m. TRADOC OIP Work Group. The OIP Work Group is composed of representatives from the HQ TRADOC primary staff with responsibility for an OIP inspection or activity. Members of the OIP Work Group:

(1) Meet quarterly to update the OIP.

(2) Update their section's calendar submissions and answer any questions about inspection planning, execution, or follow-up.

(3) Provide necessary inspection feedback to the OIP Work Group and TRADOC OIP lead as the OIP is executed.

(4) Update the status of uncorrected deficiencies from previous inspections. Status of inspections includes the following items: inspection, date, problem, inspection lead, root cause, status, and estimated correction date.

(5) Provide report on OIP status and issues to the OIP lead.

   n. Inspection lead. Each inspection conducted for HQ TRADOC will have an individual appointed to lead the inspection. Designating the inspection lead is important for general inspections involving multiple staff sections, and especially critical when two or more inspections are combined or conducted simultaneously. The inspection lead:

(1) Serves as the central POC for coordination and deconflicting resources.

(2) Plans and schedules the inspection. As AR 1-201 states--quality inspections must be purposeful, coordinated, focused on feedback, instructive, and followed up. Plan the preparation, the inspection itself, and how it will be followed up.

(3) Coordinates with centers and schools for support required to conduct the inspection and to confirm details of inspection.

(4) Submits planned inspections, audits, and visits to TRADOC QAO for the following FY **NLT 1 April**. This allows the OIP lead and DCSOPS&T time to deconflict, combine, refocus, and delete inspections, audits, or visits, as determined by resources and guidance.

(5) Ensures all inspectors are properly trained. Trained or qualified inspectors are described in paragraph 2-2d(1-3) as well as where to find any support necessary for training fully qualified inspectors.

(6) Directs and manages execution of the inspection, and uses the guide in appendix C to help determine the root cause of a problem. Identifying the root cause ensures the true cause is addressed and not merely a symptom. Ensures detailed, actionable results are assembled and prepared. This allows the inspected unit to correct the problem and the inspector to reinspect as needed.

(7) Provides results to inspected units and senior leaders. Ensures leaders understand and have the opportunity to respond to the discrepancy or fault, that corrective action is understood, and the office or person responsible for corrective action is identified.

(8) Monitors correction of each inspection discrepancy and schedules follow-up inspection, as needed."

Paragraph 2-2, Principals of Army inspections.

Add the following sentences to the end of subparagraph 2-2c(1):

"Crosswalk inspection results across units and up/down the chain of command. Take care not to prematurely conclude a systemic problem from limited observations. Consider whether the results could or should be further verified. If so, identify other checks, indicators, or experts that could confirm or deny your findings, and recheck or crosswalk the findings with them. In large inspections, this might be done between separate teams looking at the same or similar areas. The Department of the Army IG School uses a root cause model for identifying the underlying root cause of an identified problem. Appendix C presents an extract of this model to assist inspectors in identifying root causes."

Add the following sentences to the end of subparagraph 2-2c(4):

"Note every "exceeds the standard" performance, and find out who, how, and why of the exceptional performance. Ensure these are included in the final report. Consider whether there are lessons to be learned for other similar activities in TRADOC. If so, note and report."

After subparagraph 2-2d, add the following:

"(1) Trained inspectors are critical to instructive inspections. Ensure each area inspector(s) is trained, past inspections are reviewed, and inspection references and materials are reviewed for changes to regulations. As the SME, these inspectors must know the most current policy. Strong instructor/trainer skills are preferred in these inspectors.

(2) A trained inspector includes being trained on inspection principles IAW paragraphs a through e and possessing expertise in the functional area being inspected. Inspectors must be able to teach and train the inspected unit to correct any deficiency found.

(3) The local IG is a valuable resource for preparing for inspections. The local IG can help by training instructors on Army inspection standards. The IG may also assist you in identifying the latest trends in problems related to inspection areas."

After subparagraph 2-2e, add the following:

"(1) The inspection lead will determine the best means of follow-up. Possible follow-up actions include follow-up inspection, inspection by local agency, or reply by endorsement memorandum.

(2) Good news or success stories may warrant follow-up. Follow-up actions include congratulatory letters and awards, news releases, distribution to TRADOC schools/centers/like offices, changes to TRADOC policy, or forwarding to Center for Army Lessons Learned with further coordination, as needed."

Paragraph 3-2. Organizational Inspection Program.

After 3-2g, add the following:

"h. HQ TRADOC inspections should focus on ensuring current policy provides the guidance and support necessary for subordinate commands and activities to execute the mission and tasks assigned.

i. Commanders, USAAC and Combined Arms Center; Director, Futures Center; SMCs; center directors; and school commandants will develop and implement an OIP IAW AR 1-201 and this supplement.

j. The elements that compose an OIP are depicted in figure 3-1. This OIP integrates these various elements into the TRADOC program of inspections.
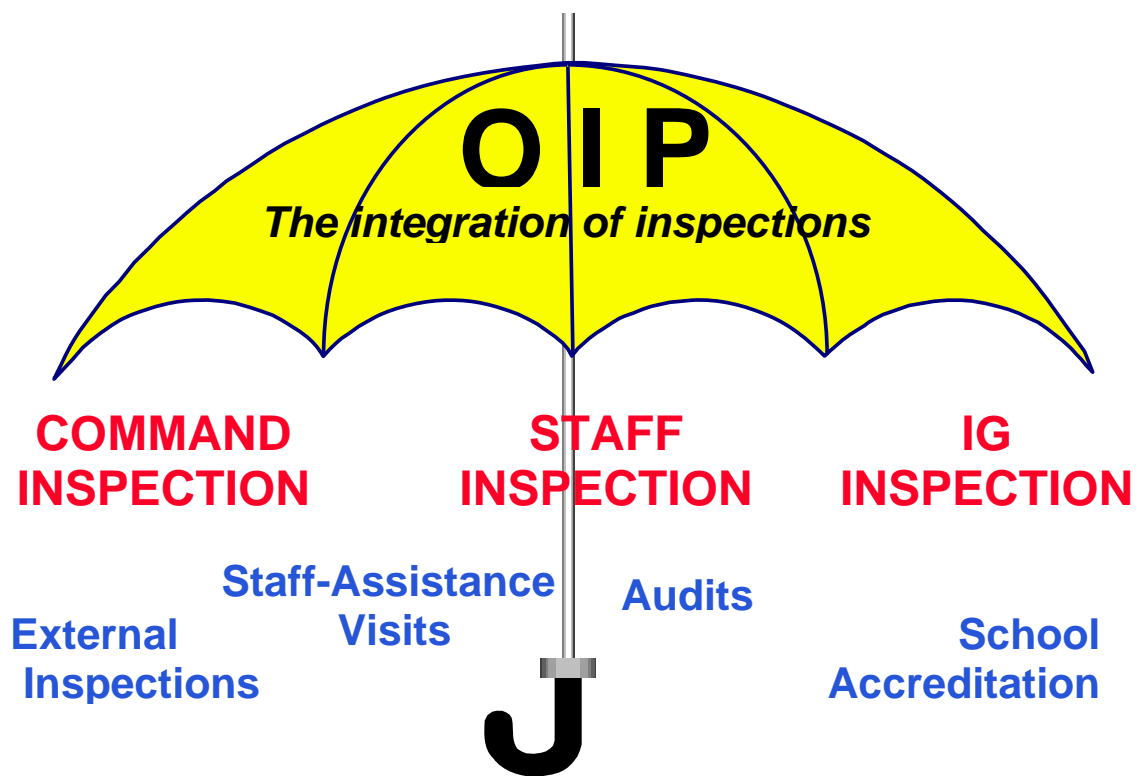
Figure 3-1. Elements of an OIP

k. The TRADOC OIP uses all three categories of inspections (command, staff, and IG).

l. Audits, defined as an *independent appraisal activity within the Army for the review of financial, accounting, and other operations as a basis for protective and constructive service to command and management at all levels*, are a key component of the OIP. An audit might be used to support any type of inspection, or may stand alone.

m. School accreditation is a special inspection to evaluate/accredit Army training institutions.

n. Paragraph 3-4f, below, lists all planned TRADOC inspections, by category, with a brief description of each inspection, including the frequency and focus.

o. TRADOC OIP lead publishes OIP guidance, as required, as part of the Command Training Guidance each year.

    (1) CG, TRADOC provides annual assessment guidance and priorities to each staff section **NLT 1 March**.

    (2) Subordinate commands request inspections/audits and assistance. Subordinate commands provide proposed dates for recurring inspections from higher commands, as well as requested inspections and visits.

p. Scheduling.

    (1) When possible, HQ TRADOC inspections will be scheduled together to minimize the disruption at centers and schools.

    (2) All inspections, audits, and visits are scheduled through the OIP Coordinator and DCSOPS&T for posting to the TMAC.

    (3) HQ TRADOC primary staff is responsible to plan and coordinate the inspection program for their functional area(s), as required by controlling regulations and TRADOC requirements. Submit the annual inspections to TRADOC OIP Lead for scheduling. HQ TRADOC primary staff will advise the TRADOC OIP Lead on potential inspection efficiencies (that is, unnecessary redundancy of specific functional checks or excessive frequency of inspections) and vulnerabilities for their functional area.

    (4) Information required to submit an item for the schedule are: inspection name; requested date(s); requesting agency, regulation, standard, or authority requiring the inspection; purpose of inspection/visit; frequency required; location inspected/visited; inspection lead; agency inspected/visited; and objectives of inspection/visit.

    (5) Unscheduled inspections. The TRADOC OIP Lead is immediately notified of any unscheduled inspection. The information required to notify TRADOC OIP Lead of unscheduled inspections is the same as if submitting a planned inspection for the TRADOC OIP.

    (6) The resulting planned TRADOC inspection/audit/visit schedule for the FY is sent to all TRADOC subordinate commands as part of the TRADOC OIP.

    (7) Each TRADOC inspection, directed by an inspection lead, is coordinated in detail with the inspected center and school."

Paragraph 3-3, Command inspections.

3-3c(1). After the last sentence, add the following: "Command inspections are focused on the rating commander teaching and training the subordinate commanders on command standards."

3-3d. After the last sentence, add the following: "The inspecting commander determines the scope, timing, and frequency, with the exception of the first subsequent command inspection, which must be done not later than the next FY following the initial command inspection."

After paragraph 3-3d, add the following:

"e. Senior Mission Commanders ensure all supporting companies under the direction of garrison commanders also receive these DA-required inspections."

Paragraph 3-4, Staff inspections.

After paragraph 3-4e, add the following:

"f. TRADOC staff inspections. Most HQ TRADOC inspections are staff-type inspections. The two major TRADOC inspections are the USAAC - IMT assistance visits, and the QA Program for Center/School Professional Military Education (PME) and IMT accreditation. Other significant multifunctional inspections are the Antiterrorism Operational Inspection and the Deputy Chief of Staff for Personnel Infrastructure and Logistics (DCSPIL) Command Logistics Review Program (CLRP). The Management Control Program (MCP), defined in AR 11-2, requires inspections within multiple functional areas and managers and auditors with specialized checklists for reviewing operations of selected functional areas. Office of Internal Review and Compliance's (OIRAC) annual audit program includes multiple functional areas and systems. A description of staff inspections follows with the designated HQ TRADOC lead.

(1) The DCG-IMT conducts announced, regularly scheduled IMT assistance visits at all installations conducting Basic Combat Training (BCT), Advanced Individual Training (AIT) (to include Interservice Training Review Organization (ITRO) sites), and One-Station Unit Training. These assistance visits enable DCG-IMT to represent the CG TRADOC, as defined in paragraph 3-15, TRADOC Regulation 10-5, in ensuring the proper accomplishment of enlisted accessions. The assistance visits focus on the standards in TRADOC Regulations 350-6 and 350-16. All visits are preceded by a monthly IMT self-assessment program. All of the assistance visit checklists are provided to each installation in order to conduct its own internal self-assessment IAW the published monthly self-assessment schedule. After the completion of the designated self-assessment, all installations conduct a self-assessment video teleconference (VTC) back-brief to the DCG-IMT outlining areas needing improvement and requiring assistance. All installations receive an assistance visit within 90 days after the Commandant assumes command. In the case of separate ITRO installations and small AIT companies and detachments, visits are scheduled within 90 days of the assumption of the senior commander. A 90-day re-visit is scheduled for all installations to ensure areas identified as requiring additional attention are being worked. If significant improvement is made within the 90 days, the DCG-IMT can direct the re-visit to be executed by VTC. Unresolved issues are "taken away" by the DCG-IMT and updated by the

TRADOC and USAAC staffs during quarterly updates. After take-away issues are resolved and briefed to the DCG-IMT for approval, the issues remain on the active list until approved by the IMT Brigade Commanders/CSMs at their annual conference. Select issues are briefed to the TRADOC CG as determined by DCG-IMT.

(2) The TRADOC QAO oversees the accreditation of the combat training center (CTC) program and Army schools. It ensures the development, implementation, and support of current and relevant institutional training and education for PME, IMT and functional training (at non-TRADOC schools). A DA G-3 memorandum (11 September 2003) formalized the Chief of Staff, Army directive to establish QA Programs for all Army schools, and recognized TRADOC as the accrediting authority for Army training and leader development at all institutions (except West Point and the Army War College). TRADOC established the QA Program to accomplish this requirement. This is a major TRADOC function that includes all TRADOC centers and proponent schools, 94 noncommissioned officer academies at 97 locations, and 142 Reserve Component The Army School System training battalions, and non-TRADOC schools as resources become available. The TRADOC QAO develops program policy and TRADOC accreditation standards, coordinates accreditation visits, tracks higher headquarters issues, and briefs the command as appropriate. The Combined Arms Center QAO evaluates the CTC program every 2 years, as well as PME for all TRADOC centers and schools every 3 years. The USAAC QAO evaluates IMT for all TRADOC centers/schools every 3 years. The training institutions accredit aligned reserve training battalions every 3 years.

(3) The MCP is implemented IAW AR 11-2, which requires annual review of the management controls in each of the TRADOC assessable units as identified by the commander. Responsible management officials ensure the management controls are assessed annually according to the MCP and report the results to the MCP Administrator in the Directorate of Resource Management. Responsible management officials also provide assurance statements specifically providing a reasonable assurance of performance in leadership emphasis, management control training, execution of process, and material weakness status. Since FY 03, only assessable units from mission activities report to TRADOC; garrison support activities report to IMA.

(4) DCSPIL, Civilian Personnel Directorate conducts periodic inspections of TRADOC civilian personnel programs IAW AR 690-200, chapter 25. Evaluations focus on effectiveness of TRADOC personnel policies and programs, effectiveness of supervisors in executing personnel responsibilities, and impact of higher-level policies and programs.

(5) DCSPIL Adjutant General (AG) conducts AG self assistance visits annually to all TRADOC activities to provide personnel support, analysis, training, and assistance IAW AR 600-61. The purpose of the visit is to identify problem areas within the personnel services and support system and provide on-site assistance/training to eliminate the cause of the problem or assist in seeking solutions. Commanders and operating personnel are advised of their overall effectiveness in providing support to personnel serviced. Areas to be assessed include, but are not limited to, Standard Installation/Division Personnel System (SIDPERS), enlisted promotions, evaluations, reassignment processing, in/out processing, leave management, awards, and IMT finance issues.

(6) DCSPIL AG Equal Opportunity (EO) conducts annual self assistance visits of all TRADOC EO programs to assess compliance with AR 600-20; DA Pamphlet (Pam) 600-26; and TRADOC Regulation 600-11. The purpose, of the visits, is to measure the overall effectiveness of the installation/activity EO program IAW DA, TRADOC, and local EO regulations and program objectives. Areas of focus are leadership involvement, EO Advisor/Representative staffing, EO Action Plan, complaint processing, unit assessment, reports (EO database), training, special/ethnic observances, and EO forums. The self assistance visits ensure just and equal treatment of all TRADOC personnel, while maintaining the highest possible level of professionalism and combat readiness; ensure all levels of command are positively and aggressively committed to, and involved in, furthering the EO program and having a workable equal opportunity action program; and monitors EO training in units and schools to ensure requirements are met and instructions are given by qualified personnel.

(7) The TRADOC AG, IAW a memorandum of agreement with the U.S. Army Element, School of Music, provides funding for the inspections of TRADOC bands, with the School of Music performing the actual technical inspections. The inspections, conducted biannually IAW AR 220-90, assess their success toward mission accomplishment, to include: quality of musical training, technical proficiency, and adequacy of equipment, personnel manning, materiel, facilities, available training time, fiscal resources and their management, effectiveness of command and control, and utilization of band in tactical environments.

(8) DCSPIL Retention Division conducts annual visits and inspections of the installation/activity retention program. The inspections are intended to measure the overall effectiveness of the program IAW DA and TRADOC directives, policies, and procedures. The visits include random sampling of brigade, battalion, and company levels of command IAW AR 601-280. Primary areas of focus include mission accomplishment, administrative data accuracy, leadership involvement, career counselor staffing, unresolved RETAIN report discrepancies, and significant variations between numbers of actual retention-eligible Soldiers and eligible Soldiers, as reported by SIDPERS. Intent is to ensure all levels of command aggressively support the Army Retention Program and solid working relationships exist between host installations and assigned, attached, and/or supported commanders, elements, and Soldiers, to ensure everyone receives the maximum benefit of retention support and adequate resources.

(9) The Command Surgeon supports the IMT assistance visits IAW ARs 40-4, 40-5, 40-68, 40-501, 40-562, 600-63, and 612-201,and TRADOC Regulation 350-6. The Command Surgeon also supports chemical surety management reviews conducted by the Major Command (MACOM) Chemical Surety Office IAW AR 50-6 and TRADOC Surety Program memorandum dated 16 December 2004.

(10) The Command Chaplain supports the IMT assistance visits as part of the DCSPIL team. Once the assistance and assessment visit checks are complete, the Chaplain team assesses compliance of the Chaplaincy and Unit Ministry Team with AR 165-1 and TRADOC Regulation 350-6.

(11) The Command Engineer supports the DCG-IMT assistance visits and the QA Program with facility SMEs.

(12) The Command Logistician supports the IMT assistance visits IAW Technical Bulletin MED 530, FMs 10-23 and 10-23-2, and AR 30-22 and conducts the CLRP. The CLRP requires a visit to units and activities every 36 months, as a minimum. The actual frequency depends on the significance of identified logistic's problems, the importance of the unit or activity's mission, and impact on the TRADOC mission. The CLRP focuses on policies, procedures, doctrine, systems, training, personnel, and funding matters affecting logistics. The CLRP also considers supply, maintenance, transportation, services, and facilities engineering functions that may have a major impact on logistics. The team assesses vertically, through command and technical channels, to identify root causes of problems.

(13) The Command Historian conducts DA certification visits to each TRADOC history office every 5 years. These visits assess whether military history programs in TRADOC meet requirements defined in AR 870-5 and TRADOC Regulation 870-1, to include military history instruction.

(14) DCSPIL Integration Division conducts assistance visits individually, or in conjunction with other staff elements, to measure and improve installation support to the TRADOC mission in such areas as well being, common levels of support, family support, lodging and Morale, Welfare, and Recreation, child care, and transformation of installation management. It also supports the TRADOC QA Team visits.

(15) The Equal Employment Opportunity (EEO) Office conducts Staff Assistance Visits to ensure compliance with EEO Commission Management Directives 110 and 715 and AR 690-12 and 690-600. The purpose of the visit is to measure the overall effectiveness of the EEO program, to ensure leadership involvement, to review EEO complaint processing, and to ensure the implementation of Management Directive 715, EEO, 1 Oct 03. Goal is to ensure all TRADOC civilians are treated equally and allowed to be all they can be.

(16) The Deputy Chief of Staff for Resource Management (DCSRM) supports the IMT assistance visits and QA Program accreditation inspection and also manages the MCP.

(17) For each of the major TRADOC mission activities (that is, major subordinate commands), Deputy Chief of Staff for Intelligence (DCSINT) conducts an annual assessment of the effectiveness of the Information and Personnel Security Program IAW ARs 380-5 and 380-67; the Communications Security Program IAW AR 380-40 and Technical Bulletin 380-41; the sensitive compartmented information security program IAW ARs 380-28 and 380-67 and DOD 5105.21-M-1; and the Foreign Disclosure Program IAW AR 380-10. The four program components are listed below in -(d), below.

(18) DCSINT conducts an annual inspection of the Total Army Language Program at Fort Huachuca and the Defense Language Institute at Monterey, IAW AR 350-16, focusing on monitoring program expenditures.

(19) DCSINT conducts an annual inspection of the Tactical Intelligence Readiness Program IAW AR 350-3, focusing on monitoring program expenditures.

(20) DCSINT, Threats Directorate, supports the TRADOC QA Program accreditation evaluations.

(21) The TRADOC IG performs IO. DCSINT is not required to perform an IO inspection because TRADOC is not an intelligence activity performing intelligence functions, as defined by AR 381-10.

(22) The Command Safety Officer conducts annual inspections of TRADOC command safety programs IAW AR 385-10 and TRADOC Regulation 385-2; supports the IMT assistance visits and the TRADOC QA Program accreditation evaluations; and supports chemical surety management reviews conducted by the MACOM Chemical Surety Office IAW AR 50-6 and TRADOC Surety Program memorandum dated 16 December 2004.

(23) The Staff Judge Advocate (SJA) supports the IMT assistance visits, and upon completion of that support, the SJA team assesses Office of the SJA compliance with the standards provided in AR 27-1 and AR 27-20. The SJA also annually reviews, compiles, and performs trend analysis of the results of SJA internal control checks.

(24) The DCSOPS&T Provost Marshal (PM) performs several inspections in support of antiterrorism (AT), law enforcement, military working dog, and Physical Security (PS) for the MACOM commander and in support of local PM activities. The PM:

(a) Conducts AT inspections, called Antiterrorism Operational Assessments (AOA). The MACOM commander is required to conduct AOAs every 2 years, or at least once during garrison commanders' tour of duty, IAW AR 525-13. These assessments are designated to test security procedures and installation defensive measures to protect from terrorist attack. The objective of the inspection is to assess and evaluate each installation's antiterrorism program implementation IAW applicable regulations, policies, and standards.

(b) Conducts technical assistance visits (TAVs) in support of law enforcement programs IAW TRADOC PM guidance. Installations supporting TRADOC activities with a TRADOC SMC receive a law enforcement TAV on their law enforcement program every 2 years, or at least once during a garrison commanders' tour of duty. These TAVs are designed to verify PM operations procedures in support of the installation force protection and antiterrorism programs. Objectives of these visits are to evaluate each installation's PM operational procedures IAW applicable regulations, policies, and standards.

(c) Inspects Military Working Dog Program IAW AR 190-12. The local PM will conduct a monthly inspection to ensure compliance with AR 190-12 and DA Pam 190-12. The MACOM-level PM conducts the same inspection annually, as outlined by the TRADOC PM. Given 12 installations to manage, the TRADOC PM normally conducts one TAV per month. A successful TAV will not require a revisit within a 12-month period. An unsuccessful TAV will require a 90-180 day follow-up visit. Military working dog teams require annual team certification to perform either or both patrol/detection capabilities. Team certification schedules

differ at each installation, based upon initial team certification, de/recertification, and deployment requirements.

(d) Conducts PS inspections IAW AR 190-13. While the PS regulation does not specifically require MACOM PS inspections of subordinates, the regulation does require the MACOM to know about the installation's PS program and this requires an "eyes on" perspective. Additionally, AR 525-13, paragraph 4-9b(2), requires the MACOM to conduct AOAs once every 2 years. A constituent part of the AT program is PS.

(e) Supports chemical surety management reviews IAW AR 50-6 and TRADOC Surety Program memorandum dated 16 December 2004. This includes a PS compliance inspection/assessment. Additionally, AR 190-59, paragraph 2-9a., requires the MACOM to conduct a PS inspection when, among other things, activities receive an unsatisfactory rating by the installation PS inspector.

(25) The Chemical Surety Office:

(a) Conducts chemical surety management reviews every 12 months to subordinate Chemical Surety Offices, IAW TRADOC Surety Program memorandum, subparagraph 1j(e) page B-9, dated 16 December 2004, and AR 50-6. This inspection includes a PS compliance inspection. Chemical Surety Vulnerability Assessments (VA) will be performed each year IAW AR 190-59, paragraph 16-5b. The MACOM will participate as a member of the VA team IAW AR 190-59, paragraph 16-7b(1).

(b) Conducts quarterly announced management assessments, of limited scope, on selected functional areas of responsibility of the Maneuver Support Center Chemical Surety Program.

(26) Chief Information Officer (CIO) participates in AOAs to validate the consistent implementation of Information Assurance security policy IAW AR 25-2, TRADOC Supplement 1 to AR 25-2, AR 525-13, and TRADOC Regulation 525-13.

(27) The DCG, U.S. Army Reserve supports the annual IMT assistance visits as SME for Army Reserve issues.

(28) The DCG, Army National Guard supports the annual IMT assistance visits as SME for Army National Guard issues.

g. Audits. Audits are a significant part of the OIP. OIRAC is the primary element providing audit services to the CG, TRADOC and staff. OIRAC:

(1) Is a key element of management control, evaluating the effectiveness and efficiency of operations.

(2) Provides the commander and staff a full range of internal auditing services, including formal and quick response audits and consulting and advisory services, IAW AR 11-7.

(3) Is the TRADOC point of contact for both internal and external audit organizations and assists in developing comments to findings and recommendations.

(4) Ensures TRADOC organizational risks are reviewed periodically and that oversight is tracked. OIRAC uses an auditable entity file (AEF) of all major programs, activities, functions, or systems subject to audit. The organization's list of assessable units, prepared IAW AR 11-2, serves as a baseline AEF, but is modified as needed.

(5) Auditors are granted full and unrestricted access (consistent with their security level) to all files, electronic and otherwise, needed in connection with an audit, inquiry, or other internal review (IR) service. Care is taken to ensure that Army Special Access Programs are considered when building the command's annual IR Program.

(6) Develops an annual plan, at the end of each FY, with sufficient flexibility to permit internal audit resources to quickly refocus on command's most pressing needs. Scheduled audits are placed on the TMAC. The annual IR plan is built from recommended audits and audits required from the audit follow-up program IAW AR 36-2. Additionally, there is a QA Program, which includes formal annual self-evaluations and an external review, not less than once every 3 years. Subordinate IRAC offices must receive external QA reviews at least once every 3 years. QA reviews evaluate organization, staffing, program management, audit planning, audit process, audit compliance and liaison, consulting and other advisory services, and customer satisfaction and value added to the local command. The DA QA Guide is used to perform internal and external QA reviews."

Paragraph 3-5, Inspector General inspections.

After paragraph 3-5d, add the following:

"e. IG inspections examine and recommend solutions for problems that cannot be easily resolved at the center and school level. These inspections are focused on systemic issues that affect many units throughout the command, seek the reason for the deficiency (that is, the root cause), and teach system's processes and procedures in the process of the inspection. The final inspection report identifies responsibility for corrective actions and spreads innovative ideas. The Office of the Secretary of the General Staff tracks follow-up inspection actions resulting in command taskers.

f. The IG conducts Special Interest Items inspections. These are smaller in scope and are more focused inspections that look at very specific issues or problems. They may require quick problem analysis and execution.

g. In the area of IO, IAW AR 381-10, the IG is responsible for checking the general provisions of AR 381-10 and the collection, retention, and dissemination of information about citizens, employee conduct, and the identification, investigation, and reporting of questionable activities.

h. IAW an interim change to AR 20-1, MACOM IGs are tasked to inspect voting assistance on an annual basis and to submit results by mail to the Inspection Division, The IG, 1700 Army Pentagon, Washington DC 20310-1700 **NLT 30 November** of each year. The objective of the inspection is to determine the effectiveness of the TRADOC Voting Assistance Program and compliance to regulatory guidance. Each center and school IG will manage the review for their command and return the results to the TRADOC IG office. Results for the MACOM will be compiled at the TRADOC IG office and presented to the CG prior to submitting to DAIG."

Add the following:

3-6. Inspections performed by HQ TRADOC staff elements. Table 3-1 displays the frequency of inspections TRADOC Headquarters staff elements perform.

Table 3-1
Inspection type/frequency

Type of Inspection	Inspections	Frequency
Command Inspections	Initial Command Inspections	Determined by the inspecting commander
	Subsequent Command Inspections	NLT next FY following ICI
Staff Inspections:		
DCG-IMT assistance visits	IMT visits to the 5 ATCs;	90 days after Cmdt assumes command
	IMT visits to other AIT sites	90 days after Cmdt assumes command
	IMT visits to ITROs	90 days after Cmdt assumes command
	Follow-up inspections	After 90 days
QA Program accreditations	CTC Program accreditation visits	Every 2 years
	Accreditation visits to TRADOC Centers and Schools	Every 3 years
	Accreditation visits by proponent schools to RC training battalions	Every 3 years
DCSPIL Inspections	Civilian Personnel Program Inspections	Periodic
	AG Staff Assistance Visits	Annually
	EO Staff Assistance Visits	Annually
	TRADOC Bands Inspections	Biannually
	Army Retention Program	Annually
	Command Logistics Review Program	NLT every 36 months
	Command Historian Certification Visits	Every 5 years
	Installation Support Integration Assistance Visits	As needed
EEO Office Inspections	EEO Staff Assistance Visits	Annually
DCSRM Inspections	Management Control Program review of assessable units	Annually
DCSINT Inspections	Personnel Security Program assessments	Annually
	Total Army Language Program inspections	Annually

Table 3-1 (cont'd)
Inspection type/frequency

Command Safety Officer Inspections	Command Safety Program inspections	Annually
DCSOPS&T Inspections	Antiterrorism Operational Assessments	Every 2 years
	Provost Marshall Technical Assistance Visits	Every 2 years
	Military Working Dog Program inspections	Annually
	Chemical Surety Management Reviews	Every 12 months
Chief, Information Officer	Supports AOAs	Every 2 years
Office, Internal Review and Audit Compliance	Reviews of subordinate IRAC offices	NLT every 3 years
IG Inspections		
TRADOC Inspector General Inspections	IG Inspections	As required
	Special Interest Items inspection	As required
	Intelligence Oversight reviews	As required
	Voting Assistance inspections	Annually

Appendix A, References; Section II, Related Publications.

Add the following:

"AR 11-2
Management Control

AR 11-7
Internal Review and Audit Compliance Program

AR 20-1
Inspector General Activities and Procedures

AR 25-2
Information Assurance

AR 27-1
Legal Services, Judge Advocate Legal Services

AR 27-20
Claims

AR 30-22
The Army Food Program

AR 36-2
Audit Reports and Follow-up

AR 40-4
Army Medical Department Facilities/Activities

AR 40-5
Preventive Medicine

AR 40-68
Clinical Quality Management

AR 40-501
Standards of Medical Fitness

AR 40-562
Immunizations and Chemoprophylaxis

AR 50-6
Chemical Surety

AR 165-1
Chaplain Activities in the United States Army

AR 190-12
Military Working Dogs

AR 190-13
The Army Physical Security Program

AR 190-59
Chemical Agent Security Program

AR 220-90
Army Bands

AR 350-3
Tactical Intelligence Readiness Training Program

AR 350-16
Total Army Language Program

AR 380-5
Department of the Army Information Security Program

AR 380-10
Foreign Disclosure and Contacts with Foreign Representatives

AR 380-28
Department of the Army Special Security System

AR 380-40
Policy for Safeguarding and Controlling Communications Security (COMSEC) Materiel

AR 380-67
The Department of the Army Personnel Security Program

AR 381-10
U.S. Army Intelligence Activities

AR 385-10
Army Safety Program

AR 525-13
Antiterrorism

AR 600-20
Army Command Policy

AR 600-63
Army Health Promotion

AR 600-61
The Personnel Management Assistance System (PERMAS)

AR 601-280
Army Retention Program

AR 612-201
Initial Entry/Prior Service Trainee Support (RCS MILPC-17(R1))

AR 690-12
Equal Employment Opportunity and Affirmative Action

AR 690-200
General Personnel Provisions

AR 870-5
Military History: Responsibilities, Policies and Procedures

TB MED 530
Occupation and Environmental Health Food Sanitation (Available at
http://www.army.mil/usapa/med/)

TRADOC Suppl 1 to AR 1-201

DA Pam 190-12
Military Working Dogs

DA Pam 600-26
Department of the Army Affirmative Action Plan

DOD 5105.21-M-1
Department of Defense Sensitive Compartmented Information Administrative Security Manual

EEO Commission Management Directive 715
Equal Employment Opportunity

FM 10-23
Basic Doctrine for Army Field Feeding and Class I Operations Management

FM 10-23-2
Tactics, Techniques, and Procedures for Garrison Food Preparation and Class I Operations
Management

TB 380-41
Procedures for Safeguarding, Accounting and Supply Control of COMSEC Material

TRADOC Regulation 10-5
U.S. Army Training and Doctrine Command

TRADOC Regulation 350-6
Initial Entry Training Policies and Administration

TRADOC Regulation 350-16
Drill Sergeant Program (DSP)

TRADOC Regulation 385-2
TRADOC Safety Program

TRADOC Regulation 525-13
TRADOC Force Protection Program (FPP)

TRADOC Regulation 600-11
Equal Opportunity Action Plan

TRADOC Regulation 870-1
United States Army Training and Doctrine Command Military History Program

TRADOC Command Training Guidance (Available at http://www-dcst.monroe.army.mil/pubs/FY-06%20TRADOC%20Command%20Training%20Guidance.pdf)''

Add appendix C:

"Appendix C
Root Cause Analysis Model
Extract from the U.S. Army Inspector General Agency's <u>*The Inspections Guide*</u> *- July 2003, Section 3-3.*

C-1. Purpose: The purpose of this section is to discuss and describe the Root Cause Analysis Model.

C-2. Root Cause: The root cause is the underlying reason why something happens or does not happen. An inspector can apply the Root Cause Analysis Model to any inspection category or type in an effort to determine why someone is complying -- or failing to comply -- with a particular standard. Inspectors should use the model not just to seek reasons for noncompliance, but also to determine why something is going well. The inspector may find some good news that is worth spreading around.

C-3. Two Forms of Root Causes: An inspector will normally encounter two basic forms of root causes: Systemic Root Causes and Local Root Causes. Every problem has a root cause, but some root causes present a larger pattern, while others are more localized.

   a. Systemic Root Causes: When a problem is widespread and presents a pattern, the problem is likely to be systemic in nature. An inspector can often trace a systemic problem back to a regulation, policy, or standard that is confusing, overly ambitious, or in conflict with another standard. The proponents of these regulations, policies, or standards are the best ones to fix the problem. IGs normally seek systemic root causes when conducting Special Inspections.

    b. Local Root Causes: When a problem is not widespread and does not present a pattern, the problem is likely to be local in nature. Local problems affect only one unit or a small group of individuals. The solution to the problem usually rests within that unit or group. Local root causes are often associated with a particular person's decisions, demeanor, or statements.

C-4. The Root Cause Analysis Model: The Root Cause Analysis Model represents an intellectual guide -- or framework -- that helps an inspector think through all of the reasons why something is happening or not happening. The model simply helps to structure the analytical process of determining what went right or wrong by posing a series of questions to the inspector in a particular form and sequence. The model appears below at figure C-1.
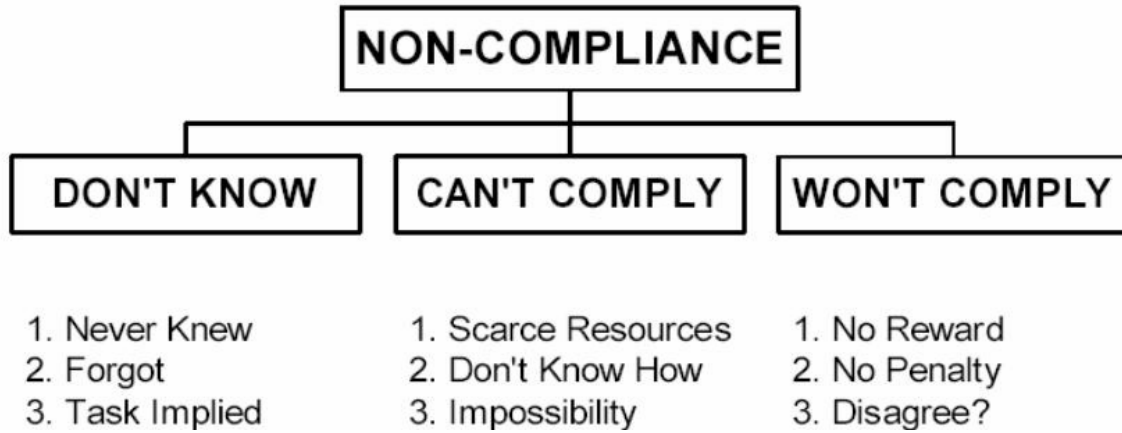
NON-COMPLIANCE

DON'T KNOW	CAN'T COMPLY	WON'T COMPLY
1. Never Knew	1. Scarce Resources	1. No Reward
2. Forgot	2. Don't Know How	2. No Penalty
3. Task Implied	3. Impossibility	3. Disagree?

Figure C-1. Root Cause Analysis Model

C-5. Using the Model: The Root Cause Analysis Model has three major headings: Don't Know, Can't Comply, and Won't Comply. Each heading includes three categories that the inspector can pose as questions. The inspector should start with the heading Don't Know and then ask questions one through three in sequence. For example, under the heading Don't Know, the inspector should ask, "Did the person or unit ever know about the requirement?" The information that the inspector gathered from interviews, sensing sessions, observation, and document reviews should lead him or her to a particular answer. The inspector should not stop upon finding an answer to a question. More than one reason may exist for compliance or noncompliance, so the inspector should follow the model all the way through.

   a. Don't Know.

     (1) Never Knew: <u>Did the person or unit ever know about the requirement</u>? A positive answer to this question usually means that some organization at some echelon failed to get the information down to the required level.

     (2) Forgot: <u>Did the person or unit forget about the requirement</u>? A positive answer to this question usually suggests a local -- or personal -- problem and not a systemic problem.

     (3) Task Implied: <u>Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement</u>? In organizations whose members are highly experienced, identifying and accomplishing implied tasks are second nature. But in organizations that suffer from rapid turnover and varying levels of experience, the leadership should compensate by providing more explicit guidance.

   b. Can't Comply.

     (1) Scarce Resources: <u>Did the person or unit have the resources to accomplish the requirement</u>? Many units often lack the resources to accomplish many of their assigned missions. The scarcest resources tend to be time and money. Part of the problem may be a conscious decision that a leader made concerning priorities. Before an inspector challenges a unit's priorities, the inspector must view and understand the bigger picture. The priorities the leader

selected may be the right ones, but that fact does not mean that the inspector cannot question the decision.

(2) Don't Know How: <u>Did the person or unit know how to meet the requirement</u>? A negative response to this question might suggest a lack of training or experience. The resources may be available, but the unit or person simply lacked the knowledge to perform the task -- even if the unit or person knew about the requirement.

(3) Impossibility: <u>Was the requirement impossible for the unit or person to perform</u>? A positive response to this question suggests that training, resources, and knowledge of the requirement were there, but the unit or person found the task impossible to accomplish. A number of potential reasons may surface. Perhaps the task was overly ambitious and incredibly difficult to perform under any circumstances.

   c**.** Won't Comply.

(1) No reward: <u>Would the person or unit be rewarded for completing the requirement</u>? Some people consciously decide not to comply with requirements that do not benefit them or their unit -- or are simply "dumb" in their estimation. Some people simply avoid difficult tasks. A disciplinary penalty may be involved in decisions of this nature.

(2) No Penalty: <u>Would the person or unit suffer a penalty by failing to complete the requirement</u>? Some units or individuals choose not to comply with what they deem to be "unsavory" tasks because no one will punish them for their noncompliance. Some people focus only on what keeps them out of trouble. Once again, a disciplinary penalty may be involved in a decision of this nature.

(3) Disagree: <u>Did the person or unit disagree with the requirement</u>? In some rare instances, individuals refuse to comply with a requirement that they think is "dumb" or "stupid." Sometimes they are correct, and sometimes they are not. Once again, a disciplinary penalty may be involved.

6. Root Cause Analysis Model Flow Chart: The flow chart shown at figure C-2 offers a more visual representation of the root cause thought process.
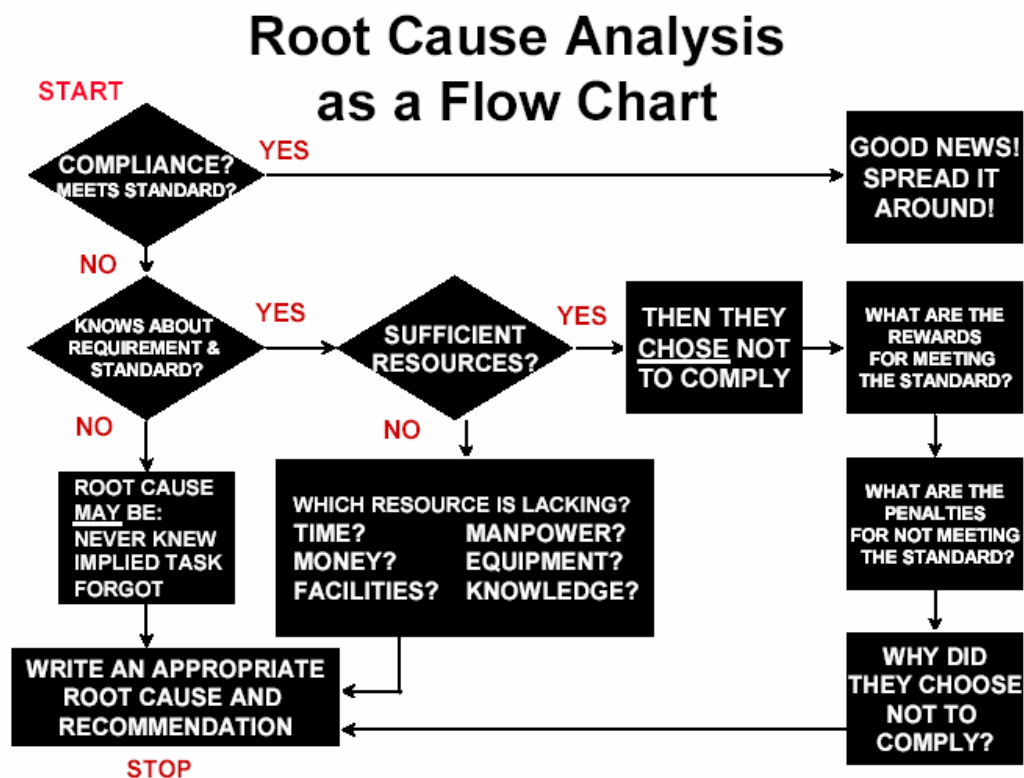
Root Cause Analysis as a Flow Chart

Figure C-2. Root Cause Analysis as a flow chart"

Glossary; Section I, Abbreviations.

Add the following:

"AEF	auditable entry file
AG	Adjutant General
AIEP	Army Ideas for Excellence Program
AIT	Advanced Individual Training
AOA	Antiterrorism Operational Assessment
AR	Army Regulation
AT	antiterrorism
ATC	Army Training Center
CSM	Command Sergeant Major
CG	Commanding General
CIO	Chief Information Officer
CLRP	Command Logistics Review Program
CTC	combat training center
DA	Department of the Army
DCG	Deputy Commanding General
DCSINT	Deputy Chief of Staff for Intelligence
DCSOPS&T	Deputy Chief of Staff for Operations and Training
DCSRM	Deputy Chief of Staff for Resource Management
DOD	Department of Defense

EO	equal opportunity
EEO	equal employment opportunity
FM	Field Manual
FY	fiscal year
HQ	Headquarters
IAW	in accordance with
IG	Inspector General
IMA	Installation Management Agency
IMT	Initial Military Training
IO	intelligence oversight
IR	internal review
ITRO	Interservice Training Review Organization
MACOM	Major Command
MCP	Management Control Program
NLT	no later than
OIP	Organizational Inspection Program
OIRAC	Office, Internal Review and Audit Compliance
PM	Provost Marshal
PME	Professional Military Education
PS	physical security
QA	quality assurance
RETAIN	the Army's automated system for retention
SIDPERS	Standard Installation/Division Personnel System
SJA	Staff Judge Advocate
SMC	Senior Mission Commander
SME	subject matter expert
TAV	technical assistance visit
TMAC	TRADOC Master Activities Calendar
TRADOC	Training and Doctrine Command
USAAC	United States Army Accessions Command
VA	vulnerability assessment
VTC	video teleconference"

Section II, Terms.

Add the following:

"assist
TRADOC organizations or staff elements a higher headquarters directs to provide augmentation or other support to a lead for a function, task, or role. The augmentation or other support includes, but is not limited to, all applicable doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF) domains. The organization that adds, complements, or sustains another organization, and is responsible for providing the assistance the lead organization requires.

lead
The TRADOC organization or staff element having primary responsibility for a function, task, or role a higher headquarters assigns. Responsibility for the function, task, or role begins with assignment and ends with completion. The responsibility also includes all aspects of execution and integration of all applicable DOTMLPF domains. The organization which receives assistance from another organization(s) or staff elements(s), and is responsible for ensuring that the supporting organization(s) or staff elements(s) understand the assistance required."

Section III, Special Abbreviations and Terms.

Add the following:

"DCSOPS&T   Deputy Chief of Staff for Operations and Training
DCSPIL   Deputy Chief of Staff for Personnel Infrastructure and Logistics
QAO   Quality Assurance Office
TMAC   TRADOC Master Activities Calendar"

FOR THE COMMANDER:

OFFICIAL: ANTHONY R. JONES
                                              Lieutenant General, U.S. Army
                                              Deputy Commanding General/
                                                 Chief of Staff

        //*S//
JANE F. MALISZEWSKI
Colonel, GS
Chief Information Officer

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*Original signed document is retained on file by the TRADOC CIO, Publications Officer